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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0851-0002
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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JC772 U.S. PTO
10/90/01

4/08/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
Submit an original and a duplicate for fee processing.
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 24]
(Preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages]
 a. Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 i. **DELETION OF INVENTOR(S)**
Signed statement attached detailing Inventor(s) named in the prior application. See 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

Attorney Docket No.	AP639US
First Inventor	HE, Gang
Title	Multi-Pass Tunable Optical Filter Using A Polarization-Dependent Filter Element and Multi-Pass Optics Therefor
Express Mail Label No.	

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R In duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies), or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of (when there is an assignee) Attorney
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: _____

18. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-In-Part (CIP)

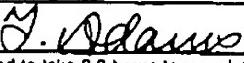
of prior application No.: _____

Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label				or	<input checked="" type="checkbox"/> Correspondence address below
Name	Thomas Adams Thomas Adams & Assoc.				
Address	P.O. Box 11100, Station H				
City	Ottawa	State	Ontario	Zip Code	K2H 7T8
Country	Canada	Telephone	613 828 0012	Fax	613 828 0024
Name (Print/Type)	Thomas Adams		Registration No. (Attorney/Agent)	31078	
Signature			Date	6-April-2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0851-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1038

Complete If Known

Application Number	
Filing Date	
First Named Inventor	Ho, Gang
Examiner Name	
Group Art Unit	
Attorney Docket No.	AP639US

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	20 0771
Deposit Account Name	Thomas Adams

Charge Any Additional Fee Required Under 37 CFR 1.18 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	138 130 Non-English specification	
147	2,620	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	218 195 Extension for reply within second month	
117	600	217 445 Extension for reply within third month	
118	1,380	218 895 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	218 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 136 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 820 Petition to revive - unintentional	
142	1,240	242 820 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 60 Processing fee under 37 CFR 1.17(q)	
128	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40
146	710	246 355 Filing a submission after final rejection (37 CFR § 1.128(a))	
149	710	249 355 For each additional invention to be examined (37 CFR § 1.128(b))	
179	710	279 355 Request for Continued Examination (RCE)	
160	800	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	710	201 356 Utility filing fee	710
106	320	208 160 Design filing fee	
107	490	207 245 Plant filing fee	
108	710	208 356 Reissue filing fee	
114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$ 710

2. EXTRA CLAIM FEES

Total Claims	Extra Claims - 20** =	Fee from below	Fee Paid
16	16	18	288
3	- 3** =		

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18	203 0 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 288

*Or number previously paid, if greater. For Reissues, see above

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40

SUBMITTED BY		Complete If Applicable	
Name (Print/Type)	Thomas Adams	Registration No. (Attorney/Agent)	31078 Telephone 613 828 0012
Signature	<i>Thomas Adams</i>	Date	6-14 April 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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